

Responsible Office: Office of Headquarters Operations
Subject: Code C Support Services Contract Technical Management (Code C)



Office of Headquarters Operations

Office Work Instruction

Code C Support Services Contract Technical Management

Approved by: _____ (Original signed by) _____ Date 2/9/01
Michael D. Christensen
Associate Administrator for Office of Headquarters Operations

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DOCUMENT HISTORY LOG

| <u>Status (Baseline/ Revision/ Canceled)</u> | <u>Document Revision</u> | <u>Effective Date</u> | <u>Description</u> |
|--|------------------------------|---------------------------|---|
| Baseline | | 12/10/99 | |
| Revision | A | 5/5/00 | <p>Title: Added "Technical"</p> <p>Section 1 added: "Perform Technical management" in place of "administer" ;and "active" to support services contracts...</p> <p>Section 2 added: "perform Contracting Officer's Technical Representative (COTR) and Technical Monitor functions"... "...activities for..."</p> <p>Section 5, 6.2, changed Signed form 1634 to Appointment Document</p> <p>Section 5, 6.3, changed Status Reports to Contractor Monitoring Reports and made the output Monitoring Report a quality record to match references Appendix A</p> <p>Section 5, 6.4, changed Report Documents to Contractor Evaluating Reports to match references Appendix A</p> <p>Section 5, 6.7 removed action box "Participate in Contract Close out and quality record "Document" since the contract is no longer active at this point, but in close out, it is not part of the purpose of this process of management of "active contracts".</p> <p>Section 6.5 modified this question diamond to more clearly follow the process to the next steps.</p> <p>Section 5 & 6 - 6.8 changed from "End of Contract" to "End of Process" and renumbered to 6.7</p> <p>Section 7, Removed all specific reference and specific contracts and only listed categories of Quality Records. Listed specific details of those quality records in Appendix A.</p> <p>Section 6.2,3,4 Add: "The quality record of this event is, however, the contractually required document(s) that are submitted and stored by the Contracting Office."</p> |
| Admin Change | A | 7/11/00 | Administrative Change to update data in Appendix A |

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| | | | |
|-----------------|---|---------|--|
| Admin Change | B | 2/9/01 | Section 7.0 Changed definition of "Destroy T" to "Destroy upon termination or completion" Section 7.0 Removed reference to "Destroy C" Updated data in Appendix A. |
| Admin Change | B | 10/2/01 | Updated Appendix A to reflect changes in Code CE contracts. |

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1.0 Purpose

This instruction documents the procedure used by the Office of Headquarters Operations to perform technical management of the various active support services contracts used to implement its mission.

2.0 Scope and Applicability

- 2.1 This Office Work Instruction (OWI) describes the procedure used to perform Contracting Officer's Technical Representative (COTR) and Technical Monitor functions to manage all support services contracts for activities for which the Office of Headquarters Operations (Code C) is responsible.
- 2.2 This OWI applies to the Office of Headquarters Operations.

3.0 Definitions

- 3.1 Configuration Control Board. A board composed of technical and administrative representatives who recommend approval or disapproval of proposed changes through the Service Requests.
- 3.2 Contract. The term "contract" as used in this document, refers to purchases made to acquire support services and conducted under the Federal Acquisition Regulations (FAR).
- 3.3 Contracting Officer (CO). Personnel from Code 210 & 212 at the Goddard Space Flight Center (GSFC), appointed in accordance with the FAR, with the authority to enter into, administer, and/or terminate contracts and make determinations and findings.
- 3.4 Contracting Officer's Technical Representative (COTR). Personnel within Code C at NASA Headquarters (or in some cases at GSFC) exercising authority and responsibility delegated by the CO. This individual represents the CO in the daily surveillance of the contractor, and provides overall technical management of the contract. COTR is required if the value of the contract exceeds \$100,000.
- 3.5 Contractor. Anyone providing services support to NASA Headquarters under a contract
- 3.6 Division Director. A high level manager who is in charge of one of the first level organizational elements (known as a division) within a Headquarter's office.
- 3.7 Performance Evaluation Board. A board composed of technical and administrative representatives who establish the Performance Evaluation Plan and review the performance and establish the Award Fee to be paid.
- 3.8 Technical Monitor (TM). Personnel within Code C at NASA Headquarters providing overall technical management on their portion of the contract. A Technical Monitor is used at Headquarters in place of a COTR if the contract is owned by another organization.

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4.0 References

| <u>#</u> | <u>Item</u> | <u>Title</u> |
|----------|---------------------------|--|
| 4.1 | NFS 1842.270, 1842.271 | NASA Federal Acquisition Regulation Supplement |
| 4.2 | NPG 1441.1 | NASA Records Retention Schedule |
| 4.3 | NPD 3310.1 | Distinguishing Between Contractor and Civil Service Functions |
| 4.4 | NODIS II | NASA On-Line Directive Information System Library |
| 4.5 | CFR | Code of Federal Regulations |
| 4.6 | NASA Form 1634 | Contracting Officer Technical Representative (COTR) Delegation |

And for selected contracts:

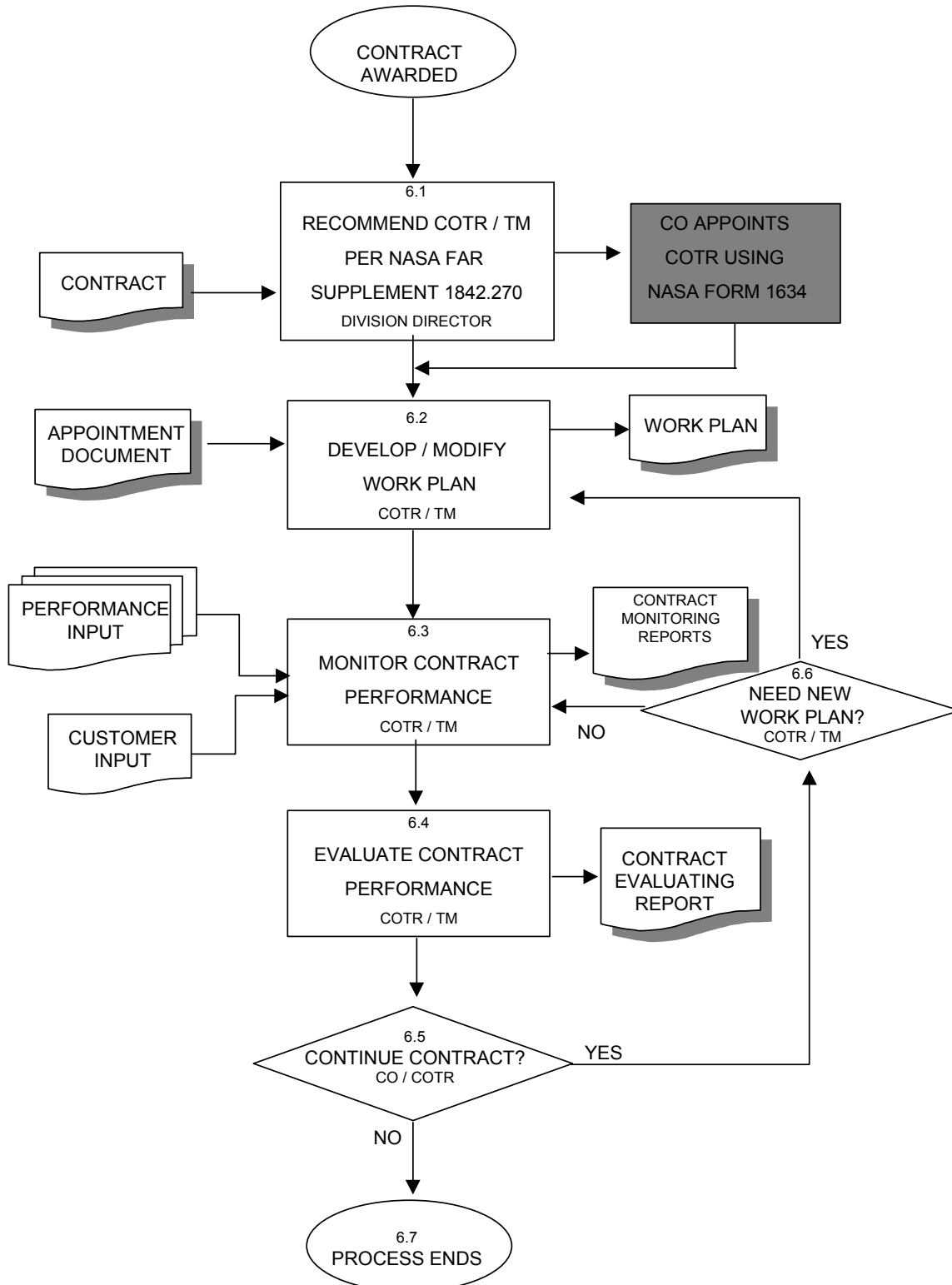
| | | |
|------|---|--|
| 4.7 | 29 CFR 1614 | Equal Employment Opportunity (EEO) Federal Sector Discrimination Complaint Processing Regulations |
| 4.8 | | Uniform Building Code 1989 |
| 4.9 | | National Electric Code 1990 |
| 4.10 | ANSI/NFPA 13 1991 Edition | American National Standards Institute/National Fire Protection Association |
| 4.11 | S. Pub 101-9, 2/1990 | Joint Committee on Printing, Printing and Binding Regulations |
| 4.12 | Public Law, Title 44 | Printing and Binding Regulations |
| 4.13 | NPG 1490.5A | NASA Procedures and Guidelines for Printing, Duplicating, and Copying Management |
| 4.14 | CFR 20-4 | Graphics Standards Manual |
| 4.15 | NMI 1383.1 | Approval, Production, Distribution, and Management of Audio Visual Products and Services |
| 4.16 | NPD 1600.2A | NASA Security Policy |
| 4.17 | NPD 1620.2 | NASA Badging System |
| 4.18 | NPD 1800.2 | NASA Occupational Health Program |
| 4.19 | NPD 1810.2 | NASA Occupational Medicine Program |
| 4.20 | NPD 1820.1 | NASA Environmental Health Program |
| 4.21 | NPD 8710.2B | NASA Safety and Health Program Policy |
| 4.22 | NHB 2710.1 | Safety and Health Handbook, Occupational Safety and Health Program |
| 4.23 | Executive Order 12196, dated February 26, 1980 | Occupational Safety and Health Programs for Federal Employees |
| 4.24 | 29 CFR Part 1960 | Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters |

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| # | <u>Item</u> | <u>Title</u> |
|----------|--|--|
| 4.25 | 29 CFR 1910 | Occupational Safety and Health Standards |
| 4.26 | 5 CFR | Administrative Personnel |
| 4.27 | 5 U.S.C. 552a | The Privacy Act of 1974, as amended |
| 4.28 | CI-1-9905 Version 1, dated July 30, 1999 | HQ Information Technology Work Control Policy and Procedures |
| 4.29 | Executive Order 13011, dated July 16, 1996 | Federal Information Technology |

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5.0 Flowchart



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6.0 Procedure

| <u>Step</u> | <u>Actionee</u> | <u>Action</u> |
|-------------|-----------------|--|
| 6.1 | DIV. DIR. | Recommends for appointment, per NASA FAR Supplement: Clause 1842.270, a COTR or a TM for the contract. If the value of the contract exceeds \$100,000, and there is no COTR at GSFC, a COTR is appointed. If the value of the contract is less than \$100,000, or if there is already a COTR at GSFC, then a TM is appointed. |
| 6.2 | COTR/TM | Develops an initial Work Plan that tasks the contractor for specific activities to be done. This work plan is developed using the Statement of Work (SOW) from the contract and other contract quality assurance procedures as designated by the CO. If, during a contract evaluation process, it is determined that a new Work Plan needs to be developed or the existing Work Plan needs to be modified, then the revised Work Plan is developed using the same criteria. Depending on the contract, this consists of such items as Task Orders, Service Requests, Statement of Work, etc. The quality record of this event is, however, the contractually required document(s) that are submitted and stored by the Contracting Office. See the Contract Matrix in Appendix for specific Code C contract and the associated work plan. |
| 6.3 | COTR/TM | Monitors the performance of the contractor to make sure the work is being done in accordance with the Work Plan(s) and in a timely and satisfactory manner. The monitoring process uses various inputs such as Monthly Reports from the contractor and customer feedback input to determine that the requirements of the contract are being met. Depending on the contract, this consists of reviewing 533 Reports, Monthly (or Periodic) Status Reviews, Visual Inspections, Customer responses, etc. The quality record of this events is, however, the contractually required document(s) that are submitted and stored by the Contracting Office. See the Contract Matrix in Appendix A for specific Code C contracts and the associated Monitoring Reports. |
| 6.4 | COTR/TM | Evaluates the performance of the contractor and recommend payment. The evaluation process uses various techniques to verify that the work has been performed according to the contract requirements and that the work is of high quality and acceptable to NASA HQ. Depending on the contract, this consists of the Award Fee Process and Issuance of the Award Fee Letter, Certifying Invoices for payment, etc. The quality record of this event is, however, the contractually required document(s) that are submitted and stored by the Contracting Office. See the Contract Matrix in Appendix A for specific Code C contracts and the associated Evaluating Reports. |
| 6.5 | CO/COTR | Continue Contract? If performance is satisfactory, and the contract is continuing go to 6.6, the previous steps (from 6.2) are repeated at regular intervals for the duration of the contract. If the contract is terminating either for cause or because it is the end of the contract period go to 6.7, as it ceases to be an active contract. |

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| <u>Step</u> | <u>Actionee</u> | <u>Action</u> |
|-------------|-----------------|---|
| 6.6 | COTR/TM | Need new work plan? Based on performance of the contractor and results from the evaluation process, a determination is made, whether a revised Work Plan is needed? If so, the iterative process repeats from Step 6.2. If not, process continues with Step 6.3 for cycle repeat. If the Contract does not continue the process ends. |

7.0 Quality Records

| <u>Record Identification</u> | <u>Owner</u> | <u>Location</u> | <u>Record Media: Electronic or Hard Copy</u> | <u>Schedule Number and Item Number (NPG 1441.1)</u> | <u>Retention/Disposition</u> |
|------------------------------|--------------|-----------------|--|---|------------------------------|
| Contract | CO | GSFC | HC | S: 5 I: 7A | Destroy 2 |
| Appointment Document | CO / COTR | GSFC/HQ | HC | S: 5 I: 1F | Destroy T |
| Work Plan | CO | GSFC | HC | S: 5 I: 7A | Destroy 2 |
| Contract Monitoring Report | CO | GSFC/HQ | HC | S: 5 I: 25B | Destroy 2 |
| Contract Evaluating Report | CO | GSFC | HC | S: 5 I: 9 | Destroy 6 |

Destroy 2 = Destroy 2 years after expiration of Contract

Destroy T = Destroy upon termination or completion

Destroy 6 = Destroy 6 years after final payment

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APPENDIX A

Office of Headquarters Operations Support Services Contract Management Process Contract and COTR/TM Matrix

| Org. Code | Contract Name | Contract Number | Appointment Document | Work Plan | Contract Monitoring Report | Contract Evaluating Report | HQ COTR / TM | Phone |
|-----------|--|-----------------|-------------------------------|----------------------------|---|--|---------------------------------|----------|
| CE | Delany, Siegel, Zorn and Associates, Inc. | W-92033 | GSA form 347 (loc. GSFC) | Statement of Work | EEO Counseling Report or Negotiated Settlement Agreement (loc. EO & Diversity Management Office/Code CE) | Cert. of Invoices (loc. GSFC) | Consignee/Christopher Rodriguez | 358-0950 |
| CE | Lee Kramer Associates LLC | W-92022 | GSA Form 347 (loc. GSFC) | Statement of Work | EEO Counseling Report or Negotiated Settlement Agreement (loc. EO & Diversity Management Office/Code CE) | Cert. of Invoices (loc. GSFC) | Consignee/Christopher Rodriguez | 358-0950 |
| CE | US Investigations Services, Inc. | W-92032 | GSA Form 347 (loc. GSFC) | Statement of Work | EEO Counseling Report or Negotiated Settlement Agreement (loc. EO & Diversity Management Office/Code CE) | Cert. of Invoices (loc. GSFC) | Consignee/Christopher Rodriguez | 358-0950 |
| CI | Information Technology Systems Engineering and Management (ISEM) | NASW-19800 | NASA Form 1634 (loc. GSFC) | Task Orders (loc. GSFC) | Form 533 (loc. GSFC) | Award Fee Report Cert. of Invoices (loc. GSFC) | COTR/Dale Stigberg | 358-4601 |

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| <u>Org. Code</u> | <u>Contract Name</u> | <u>Contract Number</u> | <u>Appointment Document</u> | <u>Work Plan</u> | <u>Contract Monitoring Report</u> | <u>Contract Evaluating Report</u> | <u>HQ COTR / TM</u> | <u>Phone</u> |
|------------------|---|--------------------------|---------------------------------|----------------------------------|--|---|--|----------------------|
| CI | NASA Outsourcing Desktop Initiative for NASA (ODIN) | NAS5-98140: DOW-19720 | NASA Form 1634 (loc. GSFC) | Delivery Order (loc. GSFC) | Metrics (loc. GSFC) | Cert of Invoices; Determination of Retainage Pool Payment (loc. GSFC) | COTR/Ed Brimberg | 358-1334 |
| CO | Kelley Heat. Vent. & Air Condition. | NASW-00010 | NASA Form 1634 (loc. GSFC) | SOW & Task Orders (loc. GSFC) | Renewal Notice (loc. GSFC) | Cert. of Invoices (loc. GSFC) | COTR/Ed Hurley | 358-0698 |
| CO | NCI Information Systems, Inc. | NASW-4974 | NASA Form 1634 (loc. GSFC) | SOW (loc. GSFC) | Monthly Task Report Customer Input Form 533 (loc. GSFC) | Award Fee Report (loc. GSFC) | COTR/Eric Rountree | 358-0209 |
| CO | Haworth Systems Furniture | W-91501 | NASA Form 1634 (loc. GSFC) | Task Orders (loc. GSFC) | Monthly Cost Propsls (loc. GSFC) | Cert. of Credit Memo Cert. of Invoices (loc. GSFC) | COTR/Lenore McGraw & John Stumpf | 358-1444 |
| CO | Dowcraft Integral Wall | W-91656 | NASA Form 1634 (loc. GSFC) | Task Orders (loc. GSFC) | Monthly Cost Propsls (loc. GSFC) | Cert. of Credit Memo Cert. of Invoices (loc. GSFC) | COTR/Lenore McGraw & John Stumpf | 358-1444 |
| CO | Unit Price Agreement | W-91539 | NASA Form 1634 (loc. GSFC) | Task Orders (loc. GSFC) | Cert. of Task Orders (loc. GSFC) | Cert. of Invoices (loc. GSFC) | COTR/Judy Jackson | 358-0212 |
| CO | RSIS/Westover | NAS5-98180 | Appointment Memo (loc. GSFC) | NASA Work Order (loc. GSFC) | Contr. Serv. Survey Customer Input (loc. GSFC) | Semi-Annual Rept. (loc. GSFC) | TM/Ron Hoffman | 358-1596 |
| CO | Washington Professional Services | W-91622 | NASA Form 1634 (loc. GSFC) | SOW (loc. GSFC) | Quarterly Inspection (loc. GSFC) | Product Service Rept (loc. GSFC) | COTR/Ron Hoffman | 358-1596 |
| CO | Eagle Technologies Incorporated | NASW-00020 | NASA Form 1634 (loc. GSFC) | SOW (loc. GSFC) | Renewal Notice (loc. GSFC) | Payment Voucher (loc. GSFC) | COTR/Steve Peyton And Tracey Thayer | 358-0191 358-0192 |
| CP | Health and Environmental Services | NAS5-98158 | Performance Plan | SOW | Monthly Status Report Form 533 (loc. GSFC) | Perf. Eval. Plan Award Fee Report | TM/Cherie Zieschang | 358-1569 |

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| <u>Org. Code</u> | <u>Contract Name</u> | <u>Contract Number</u> | <u>Appointment Document</u> | <u>Work Plan</u> | <u>Contract Monitoring Report</u> | <u>Contract Evaluating Report</u> | <u>HQ COTR / TM</u> | <u>Phone</u> |
|----------------------|----------------------|----------------------------|---------------------------------|------------------|---------------------------------------|---------------------------------------|---------------------|--------------|
| | | | (loc. GSFC) | (loc. GSFC) | | (loc. GSFC) | | |
| CP | ConTemporaries, Inc. | NASW-92007 | NASA Form 1634 | Task Orders | Cert. of Task Orders | Cert. of Invoices (loc. GSFC) | COTR/Denise Hurey | 358-2105 |

Appendix Revision Date: 2/9/01